



Registration Fee Worksheet

Name: _____

Date: _____

Initial and Annual Technology Fees \$550.00
 *(e-mail set-up is a separate charge)

FINRA Registration Fee \$100.00

Electronic Fingerprint Processing Fee \$17.50 (Rep pays this fee direct)
 To schedule your appointment and obtain a list of locations go to www.BrokerFP.com. Use Field Print Code: MercapAP

FINRA Fingerprint Processing Fee \$30.00

250 Business Cards and Letterhead template without use of a dba name \$75.00
 (cost does not include the use of a dba name)

Resident State Fee _____
You must be registered in your resident state
 Additional State Registrations(s) _____
 (Please contact the home office for current state fee schedule)

Branch Office Fee: \$175 per Branch.
 All Branch Office requests must be pre- approved by the Compliance Department _____

Fidelity Bond \$250.00

E&O Insurance _____
 Non-Refundable – See Attached Premium Matrix

SRR-Special Registration Review _____
Applies to ANY "Yes" answer in Section 14 of your U-4, Additional FINRA fee of \$110.00

Exam Fees	Anticipated Date
(exam fee schedule)	
Series _____	_____
Series _____	_____

Total Fees **\$ _____**

Additional Fees:

- FINRA CE \$55.00
FINRA requires that all registered persons take a computer-based training module on the second anniversary of their initial securities registration, and every three years thereafter. The window is open for 120 days. Failure to complete the FINRA Regulatory Element will cause a representative to go inactive, not be able to conduct business or seminars, and commissions cannot be paid during this time.
- FINRA Disclosure Reporting Fees: \$110.00 per incident. This is an additional charge.
- Year-end SIPC & FINRA assessment fees.
- Email Set-up fee.
- Outside RIA's: All outside RIA's will be required to pay MerCap Securities, LLC a 5% oversight fee based on the revenue generated from your AUM. This fee will be paid quarterly.
- Equity Indexed Products: Reps will be required to pay MerCap Securities, LLC a 5% override on all Equity Indexed Life and Annuity sales.

All registration and examination fees are non-refundable and are subject to change without notice.

Please return this completed fee worksheet with a check payable to:

**MerCap Securities, LLC
40 Darby Road
Paoli, PA 19301**

OR

If paying by credit card please go to www.mercapsecurities.com

CREDIT CARD PAYMENTS:

- Click on Broker/Dealer tab
- Left hand side – scroll down to the bottom and click on Pay with Credit Card
- Click on Register – enter email/password/billing information
- Confirmation will be sent to you through email

****Invoice Number – please use today's date (Example: April 10, 2013 enter as Invoice #041013)***

Commission Payments:

MerCap Securities, LLC has signed up for Direct Pay with Fidelity Bank. This will allow us to pay weekly commissions to our Reps through an ACH payment directly to your checking or savings account. Please complete the attached form, if you would like to sign-up for this service. It may take a week or two to initiate the first payment. We will issue weekly checks in the meantime.